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**CERTIFICATE OF MAILING**

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Drew R. Herndon

(Typed or Printed Name of Person Mailing Paper or Fee)

Drew R. Herndon  
(Signature of Person Mailing Paper or Fee)

PATENT  
Attorney Docket No. 21336-703

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of:

Peter H. Van der Veen

Application No. 09/383,115

Filed: August 25, 1999

For: SYMMETRIC MULTIPROCESSOR  
SYSTEM AND METHOD

) Group Art Unit: 2781

) Examiner: Unknown

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**PRELIMINARY AMENDMENT**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

Prior to examination of the above-identified patent application on the merits, please amend the application as follows:

**IN THE CLAIMS:**

Please cancel claims 1-5 without prejudice or disclaimer.

Please add the following new claims 6-16.

-- 6. A method of symmetric multiprocessing for an operating system having critical and non-critical areas, comprising the steps of:  
responding to a thread requiring a call to a critical area of said operating system by requesting a global lock; and

Please type a plus sign (+) inside this box → +



GAU 2781

PTO/SB/21 (6-99)

Approved for use through 09/30/2000. OMB 0651-0031

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	09/383,115
Filing Date	August 25, 1999
First Named Inventor	Peter H. Van der Veen
Group/Art Unit	2781
Examiner Name	Unknown
Total Number of Pages in This Submission	7
Attorney Docket Number	21336-703

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### ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form <input checked="" type="checkbox"/> Fee Attached <input checked="" type="checkbox"/> Amendment (Preliminary) <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Small Entity Statement <input type="checkbox"/> Request for Refund	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input type="checkbox"/> Additional Enclosure(s) (please identify below):  <input type="text"/>
Remarks		

### SIGNATURE OF APPLICANT, ATTORNEY OR AGENT

Firm or Individual name	Kent R. Richardson, Reg. No. 39,445, WILSON SONSINI GOODRICH & ROSATI (Cust. No. 21971)
Signature	
Date	February 22, 2000

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Typed or printed name	Drew Herndon
Signature	
Date	February 22, 2000

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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# FEE TRANSMITTAL for FY 2000

*Patent fees are subject to annual revision.*

*Small Entity payments must be supported by a small entity statement, otherwise large entity fees must be paid. See Forms PTO/SB/09-12. See 37 C.F.R. §§ 1.27 and 1.28.*

TOTAL AMOUNT OF PAYMENT	(\$ 156.00)
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Complete if Known	
Application Number	09/383,115
Filing Date	August 25, 1999
First Named Inventor	Peter H. Van der Veen
Examiner Name	Unknown
Group/Art Unit	2781
Attorney Docket Number	21336-703

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MAY 6 2000  
U.S. PATENT AND TRADEMARK OFFICE

## METHOD OF PAYMENT (check one)

1.  The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number

Deposit Account Name

Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17

2.  Payment Enclosed:

Check  Money Order  Other

## FEE CALCULATION

## 1. BASIC FILING FEE

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	690	201	345	Utility filing fee	<input type="text"/>
106	310	206	155	Design filing fee	<input type="text"/>
107	480	207	240	Plant filing fee	<input type="text"/>
108	690	208	345	Reissue filing fee	<input type="text"/>
114	150	214	75	Provisional filing fee	<input type="text"/>
SUBTOTAL (1) <input type="text" value="(\$ 0.00)"/>					

## 2. EXTRA CLAIM FEES

	Extra Claims	Fee from below	Fee Paid
Total Claims	<input type="text" value="11"/>	$-20^{**} = 0$	$0 \times 18.00 = 0.00$
Independent Claims	<input type="text" value="5"/>	$-3^{**} = 2$	$2 \times 78.00 = 156.00$
Multiple Dependent		$260.00$	$= 0.00$

*\*\* or number previously paid, if greater; For Reissues, see below*

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	78	202	39	Independent claims in excess of 3
104	260	204	130	Multiple dependent claim, if not paid
109	78	209	39	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent
SUBTOTAL (2) <input type="text" value="(\$ 156.00)"/>				

## 3. ADDITIONAL FEES

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	<input type="text"/>
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	<input type="text"/>
139	130	139	130	Non-English specification	<input type="text"/>
147	2,520	147	2,520	For filing a request for reexamination	<input type="text"/>
112	920	112	920	Requesting publication of SIR prior to Examiner action	<input type="text"/>
113	1,840	113	1,840	Requesting publication of SIR after Examiner action	<input type="text"/>
115	110	215	55	Extension for reply within first month	<input type="text"/>
116	380	216	190	Extension for reply within second month	<input type="text"/>
117	870	217	435	Extension for reply within third month	<input type="text"/>
118	1,360	218	680	Extension for reply within fourth month	<input type="text"/>
128	1,850	228	925	Extension for reply within fifth month	<input type="text"/>
119	300	219	150	Notice of Appeal	<input type="text"/>
120	300	220	150	Filing a brief in support of an appeal	<input type="text"/>
121	260	221	130	Request for oral hearing	<input type="text"/>
138	1,510	138	1,510	Petition to institute a public use proceeding	<input type="text"/>
140	110	240	55	Petition to revive - unavoidable	<input type="text"/>
141	1,210	241	605	Petition to revive - unintentional	<input type="text"/>
142	1,210	242	605	Utility issue fee (or reissue)	<input type="text"/>
143	430	243	215	Design issue fee	<input type="text"/>
144	580	244	290	Plant issue fee	<input type="text"/>
122	130	122	130	Petitions to the Commissioner	<input type="text"/>
123	50	123	50	Petitions related to provisional applications	<input type="text"/>
126	240	126	240	Submission of Information Disclosure Stmt	<input type="text"/>
581	40	581	40	Recording each patent assignment per property (times number of properties)	<input type="text"/>
146	690	246	345	Filing a submission after final rejection (37 CFR 1.129(a))	<input type="text"/>
149	690	249	345	For each additional invention to be examined (37 CFR 1.129(b))	<input type="text"/>
Other fee (specify) <input type="text"/>				25	Request for Corrected Filing Receipt
Other fee (specify) <input type="text"/>				55/110	Terminal Disclaimer

\* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) 

## SUBMITTED BY

Name (Print/Type)	Kent R. Richardson	Registration No. (Attorney/Agent)	39,443	Telephone	650-493-9300
Signature		Date	February 22, 2000		